

## SCHEME OF DELEGATION

The Scheme of Delegation sets out responsibilities for decision making in the ARB.

Item	Action	Level of Authority	Narrative
<b>Strategy</b>			
1.	Approval of the Board's Strategic Objectives	Board	
2.	Approval of the Annual Business Plan and strategic objectives.	Board	
3.	Operational management of the Board's Business Plan	CEO/Registrar	The CEO/Registrar supervises and manages the organisation's Business Plan with regular reports provided to the Board, including a mid-year review of progress and an end of year report.
<b>Financial Matters</b>			
4.	Approval of annual report and accounts	Board	The annual report and accounts are reviewed by the Audit and Risk Assurance Committee and then submitted to the Board for approval.
5.	Reserves Policy	Board	
6.	Annual budget, including capital programme	Board	The annual budget (covering Jan – Dec) is submitted to the Board for approval in September of the preceding year.
7.	Setting of the retention fee and other fees	Board	In line with the Board's statutory responsibilities as specified in the Architects Act 1997, it sets the retention fee and other fees it has the power to charge for.
8.	Remuneration, travel and subsistence for Board members, panel members and advisers	Board	Remuneration and Appointments Committee advise the Board annually on the remuneration of all non-executives and advisers, including travel and subsistence payments.

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9.	CEO/Registrar's expenses	Chair of the Board	All expenses of the CEO/Registrar are submitted for approval by the Chair of the Board after having been checked by the Head of Finance and Resources.
10.	Authorisation of Board members' attendance allowance, travel and subsistence claims	Authorised by the CEO/Registrar or one of the following members of the Senior Leadership Group: Head of Professional Standards Head of Qualifications and Governance Head of Registration or Head of Finance and Resources	The CEO/Registrar to raise any concerns around Board member claims with the Chair of the Board.
11.	Authorisation of Chair's attendance allowance, travel and subsistence claims	Authorised by the CEO/Registrar	The Head of Finance and Resources will check the claim.  The CEO/Registrar authorises payment of the Chair's expenses and attendance allowance claims in line with the policy on travel and subsistence.  Any concerns around Chair claims to be raised with the Chair of the Audit and Risk Assurance Committee.
12.	Approval of non-executives attendance allowance, travel and subsistence claims	Any one of: CEO/Registrar Head of Professional Standards Head of Qualifications and Governance Head of Registration or Head of Finance and Resources	
13.	Authorisation of staff travel and subsistence	Any one of: CEO/Registrar Head of Professional Standards Head of Qualifications and Governance Head of Registration or	Not able to authorise their own travel and subsistence claims.

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		Head of Finance and Resources	
14.	Transfers between budget headings (virement)	CEO/Registrar	The Board sets the overall budget and delegates to the CEO/Registrar the ability to move funds between budget headings. The Board is updated on amounts over £50,000 via the management accounts.
15.	Additional capital and revenue expenditure not within budget (up to £30,000) or where savings have been identified within the operational budget.	CEO/Registrar	The Board is updated on any such spend via the management accounts.
16.	Net Expenditure which will exceed the annual budget by more than £30,000	Board	Variances are explained/reported as part of the management accounts. If the additional expenditure exceeds £30k then approval is required from the Board prior to the spend occurring.
17.	Banking arrangements	Board	The Board will agree the banking arrangements including the banks to be used, and signing requirements.
18.	Transfer of funds between ARB's bank accounts	Head of Finance and Resources	
19.	Bank Payment Authorisations	<p>All payments, irrespective of amount, require two authorised signatures.</p> <p>For Bank payments under £9,999.99p, bank signatories are any two of the following: CEO/Registrar, Head of Professional Standards, Head of Qualifications and Governance Head of Registration or Head of Finance and Resources</p> <p>For bank payments over £10,000, one of the signatories <b>must</b> be the CEO/Registrar.</p>	Enables bank payments to be authorised in line with the Bank Mandate, as agreed by the Board.

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		In the event of an emergency, or in the absence of the CEO/Registrar, members of the Senior Leadership Group will be authorised signatories with a limit of £100,000. Upon return, the CEO/Registrar will review and countersign all payments made by the Senior Leadership Group for clarification and transparency. Any instances of this policy must be reported to the Audit and Risk Assurance Committee.	
20.	Disposal of Assets and removal of assets from the Asset Register	CEO/Registrar	A full Asset Register is kept; all disposals have to be authorised by the CEO/Registrar.
21.	Payroll authorisation, including the checking the new starter and leavers, changes in bank details.	Head of Finance and Resources and the CEO/Registrar	Payroll payments are made in adherence to the internal controls. No payments can be made without the Head of Finance and Resources and the CEO/Registrar.
22.	Petty cash advances and Floats for Board members and staff	Head of Finance and Resources	Petty cash of £500 is held onsite with payments authorised by the Head of Finance and Resources. The Head of Finance and Resources is authorised to agree advance funds for out of pocket expenses for Board members and staff, if required for ARB business.
23.	Expenditure within the agreed specific budget headings	Any one of: CEO/Registrar Head of Professional Standards Head of Qualifications and Governance Head of Registration or Head of Finance and Resources	In line with the organisation's procurement policy.
<b>Contracts and Procurement</b>			
24.	Approval of tenders and contracts over £100,000.	Board	In line with the organisation's procurement policy.

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25.	Approval of tenders and contracts under £100,000	CEO/Registrar and one person from the following: Head of Professional Standards Head of Qualifications and Governance  Head of Registration or Head of Finance and Resources	In line with the organisation's procurement policy.
26.	Signing leases over £50,000 per annum	CEO/Registrar with Board approval	In line with the organisation's procurement policy.
27.	Signing leases below £50,000 per annum	CEO/Registrar	In line with the organisation's procurement policy.
28.	Maintenance contracts up to £100k	CEO/Registrar or Head of Finance and Resources	In line with the organisation's procurement policy.
29.	Insurance arrangements and policies	CEO/Registrar	
<b>Organisational Structure</b>			
30.	Appointment of CEO/Registrar	Board	The Board appoints the CEO/Registrar. The MHCLG/ARB Framework Agreement requires the Board to consult with the MHCLG before appointing.
31.	Dismissal and suspension of CEO/Registrar	Board	The Board in line with the Remuneration and Appointments Committee Terms of Reference can authorise the dismissal or suspension of the CEO/Registrar.
32.	Appointment and removal of Senior Leadership Group members	Board	Under its Terms of Reference, the Remuneration and Appointments Committee considers and makes recommendations to the Board for the overall structure, appointment, and where necessary, the removal of ARB's senior team members.
33.	Appointment of staff members	CEO/Registrar	The CEO/Registrar appoints staff members (excluding members of the SLG, see point 32 above). The CEO/Registrar cannot appoint permanent

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			members of staff over the agreed permanent headcount (as agreed by the Board, see item 30).
34.	Dismissal and suspension of staff	The investigation Officer is able to suspend staff once confirmed by the CEO/Registrar that the suspension is proportionate based on preliminary enquiries	Process of suspension and dismissal carried out in accordance with ARB's staff disciplinary procedures.  A person will be authorised to undertake the role of a hearing officer, as specified in ARB's staff disciplinary procedures.
35.	Increases to the permanent headcount	Board	
36.	Principle and policies governing pay and reward of staff	Board	The Remuneration and Appointments Committee reviews and recommends to the Board the principles and policies governing the pay, incentivisation and all other aspects of the total reward package of ARB's staff.
37.	Annual salary increments for staff	Board	The Remuneration and Appointments Committee reviews and advises the Board regarding the pay and total reward package of the staff team..
38.	Pay and reward package of CEO/Registrar	Board	The Remuneration and Appointments Committee reviews and advises the Board regarding the pay and reward package of the CEO/Registrar.
39.	Staff Benevolent Fund Trustees	Staff Benevolent Trustees appointed by the Board	Three members are appointed by the Board to administer the Fund in accordance with the Trust Deed.
40.	Staff requests for unpaid leave	Head of Finance and Resources and the CEO/Registrar	
41.	Salary advances	CEO/Registrar	
42.	Ex-gratia payments, bonuses and exceptional salary increases of staff	CEO/Registrar	Payments can be awarded by the CEO/Registrar, but should be reported to, and should be made in accordance with, the policies agreed by the Remuneration and Appointments Committee.

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			Due regards to be paid to the requirements set out in 'Managing Public Money'
43.	Season ticket loans	Head of Finance and Resources (in the case of the Head of Finance and Resources, the CEO/Registrar)	
<b>Appointments</b>			
44.	Temporary Appointment of Chair	Board	Under the Act, the Board (advised by the Remuneration and Appointments Committee) may appoint someone to act as Chair of the Board for any period when there is no person to discharge their responsibilities.
45.	Temporary Appointment of Board Members	Board	Under the Act, the Board (advised by the Remuneration and Appointments Committee) may make a temporary appointment of a person to act as a member of the Board in the event of a vacancy.
46.	Appointments of Board Members to Committees	Board	
47.	Appointment of Non-Executive Committee members	Board	
48.	Appointment and re-appointment of all non-executives and advisors	Board	The Board, advised by the Remuneration and Appointments Committee, appoints members of: the Investigations Pool; inquirers; Professional Conduct Committee members and chairs; examiners; independent examiners and all other external advisers.
49.	Provision of external audit services	Board	The Audit and Risk Assurance Committee recommends to the Board proposals for the provision of external audit services; the service provided by external audit and whether it meets the standards specified within the international standards on auditing.

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50.	Provision of internal audit services	Board	The Audit and Risk Assurance Committee recommends to the Board proposals for the provision of internal audit services and the service provided by internal audit.
51.	Appointment of ad hoc technical advisors to assist with projects/task and finish groups	The CEO/Registrar with one of the following: Head of Professional Standards Head of Qualifications and Governance Head of Registration Head of Finance and Resources	To assist in the smooth running of the organisation the inclusion of ad hoc technical advisors may be required.
52.	Appointment of independent Investment Manager	Board	The Board appoints the investment Manager every three years, subject to satisfactory performance.
53.	Appointment of benefits advisors	CEO/Registrar	ARB uses the services of pension and staff benefits advisors. The CEO/Registrar appoints the advisors. The performance of the pension advisor is considered by the Remuneration and Appointments Committee on an annual basis.
54.	Appointment of solicitors/barristers in relation to professional conduct matters	CEO/Registrar	Legal contracts will normally be appointed through a tender process, although alternative appointments can be made on individual cases by the Head of Professional Standards to deal with business needs.
55.	Appointment of solicitors/barristers and agents for title regulation cases	CEO/Registrar	Legal contracts will normally be formed after a tender process, although alternative appointments can be made on individual cases by the Head of Professional Standards to deal with business needs.
<b>Registration Decisions</b>			
56.	Decision not to Register or Register when Registrar	Board	The Scheme of Decision Making reflects statutory



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	decides it is not appropriate to take decision Entry on to the Register – Decision to Register	CEO/Registrar	responsibilities specified within the Architects Act 1997.
57.	Appeals: Part 1 of the Register	High Court	The appeals mechanism for applicants wishing to appeal a decision for entry to Part 1 of the Register is specified with the Architects Act 1997.
58.	Appeals: Part 2 of the Register	County Court in England, Wales and Northern Ireland or in Scotland, to the Sheriff.	The appeals mechanism for an applicant wishing to appeal a decision for entry onto Part 2 of the Register is specified within the Architects Act 1997.
59.	Removal following failure to notify change of address procedure (Section 11 of the Act)	CEO/Registrar	Authority specified within the Architects Act 1997 to remove individuals on the Register who fail to keep their address up to date.
60.	Removal from the Register for non-payment (Section 8 of the Act)	CEO/Registrar	Authority specified within the Architects Act 1997 to remove individuals who fail to make payment of the annual retention fee.
61.	Removals from the Register (resignations, deaths etc.)	CEO/Registrar	Authority specified within the Architects Act 1997 to remove individuals who have passed away or who make a request to resign from the Register.
62.	Reinstatement to the Register (Section 8 of the Act)	CEO/Registrar	Authority specified within the Architects Act 1997 to reinstate applicants to the Register.
63.	Certificate of registered status	CEO/Registrar	Authority specified within the Architects Act 1997 to issue a certificate of registered status.
64.	Recommendations of the Prescribed Examination panels for equivalence to Part 1 and Part 2	CEO/Registrar	Authority specified within the Prescribed Examination Procedures.
65.	Publication of the Register	CEO/Registrar	The Architects Act 1997 specifies the Board will publish a Register; day to day operations, including

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			the publication of the Register, are delegated to the Registrar, in line with the Board's General Rules.
66.	Re-entry to the Register following a PCC Erasure order	Board	Section 18 of the Architects Act specifies that this decision must rest with the Board and cannot be delegated.
<b>Procedures</b>			
67.	Agreeing changes to the Board's Rules	Board	Any amendments to the Board's Rules have to be agreed by the Board, having undertaken public consultation where applicable.
68.	Prescribing qualifications	Board (after consultation with appropriate representative bodies in the case of new qualifications)	The Board, in line with its statutory responsibilities, specified in the Architects Act 1997, makes the decision to prescribe or renew prescription of a qualification.
69.	Investment strategy	Board	The Board annually sets the Investment Strategy. The Board's Investment Broker then ensures ARB's investment portfolio aligns with the agreed strategy.
70.	General Delegation	<p>General Rule 8.1 states:</p> <p>Except to the extent of a Board decision to the contrary, the Registrar (as Chief Executive), the Chair and other officers shall (so far as permitted by law) have such delegated authority act on behalf of the Board in implementing its policies:</p> <ul style="list-style-type: none"> <li>a. as may be expressly given by the Board; or</li> <li>b. as is desirable or necessary for the efficient operation of the Board's activities; or</li> <li>c. as relates to matters customarily delegated to such persons.</li> </ul>	General delegation enabling the smooth running of the organisation's business in line with its General Rules, as agreed by the Board.

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71.	Consider and approve the plans for internal and external audit	Audit and Risk Assurance Committee	In line with the ARAC Terms of Reference.
72.	Responding to legal challenges/judicial reviews	CEO/Registrar	
73.	Prosecution in respect of title regulation issues	Head of Professional Standards	A judgment is made to decide whether the case meets the two stage test (evidential test & public interest test).
74.	Decision to refer an allegation of UPC/SPI to an Investigations Panel	Registrar	Authority given to the CEO/Registrar under the Investigations Rules.
75.	Referral to the Professional Conduct Committee in respect of a criminal conviction	Registrar	In accordance with the Investigation Rules, the Registrar must decide whether the criminal offence is one that is relevant to the fitness to practise as an architect.
76.	Penalty Orders (fines, suspensions, erasures)	Professional Conduct Committee	In line with the Architects Act 1997 the Professional Conduct Committee discharge its duties in this area.
77.	Instruction of Queen's Counsel	CEO/Registrar	The CEO/Registrar authorises the procurement of Queen's Counsel for legal opinion on matters of points of law.
78.	Custody of Board's papers and authorising release	Head of Professional Standards	To ensure the appropriate release of Board papers and information the Head of Professional Standards is responsible for the release of requested information in accordance with FOI Data Protection Principles.
79.	Sealing documents on behalf of ARB	CEO/Registrar	The Architects Act 1997 requires the Board to have a Common Seal.
80.	Review and agreement of Scheme of Decision Making	Board	Biennially the Board reviews and agrees the Scheme of Decision making.

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